

07-23-01

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**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*Docket No.  
64423/00031Total Pages in this Submission  
185**TO THE ASSISTANT COMMISSIONER FOR PATENTS****Box Patent Application**  
**Washington, D.C. 20231**

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for invention entitled:

**Secure Ecommerce Transaction and User/Product Authentication Management System**

and invented by:

**Balamani S. Vishwanath and Brian D. Mantz**

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/847,465

Which is a:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 185 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications *(if applicable)*
  - c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*
  - d. ☐ Reference to Microfiche Appendix *(if applicable)*
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings *(if drawings filed)*
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

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**Application Elements (Continued)**

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*  
a. ☐ Formal      b. ☒ Informal      Number of Sheets 75
4. ☒ Oath or Declaration  
a. ☒ Newly executed *(original or copy)*      ☐ Unexecuted  
b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*  
c. ☒ With Power of Attorney      ☐ Without Power of Attorney  
d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied  
under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*  
a. ☐ Paper Copy  
b. ☐ Computer Readable Copy  
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☒ Assignment Papers *(cover sheet & documents)*
9. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing  
☐ First Class      ☒ Express Mail *(Specify Label No.):* EL179924489US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. ☐ Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_
17. ☒ Additional Enclosures *(please identify below)*:

Application Data Sheet; Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i);  
Check for \$40.00

**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

| For  | #Filed | #Allowed | #Extra | Rate      | Fee      |
|--|--------|----------|--------|-----------|----------|
| Total Claims   | 22     | - 20 =   | 2      | x \$9.00  | \$18.00  |
| Indep. Claims  | 2      | - 3 =    | 0      | x \$39.00 | \$0.00   |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/> |        |          |        |           | \$0.00   |
| BASIC FEE  |        |          |        |           | \$355.00 |
| OTHER FEE (specify purpose) _____  |        |          |        |           | \$0.00   |
| TOTAL FILING FEE   |        |          |        |           | \$373.00 |

- ☒ A check in the amount of \$373.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 12-1322 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: July 20, 2001

**\*22904\***

**22904**

PATENT TRADEMARK OFFICE

Steven S. Boyd, Esq.  
Reg. No. 42,353

Signature

CC:

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                       |                               |          |                               |
|-----------------------|-------------------------------|----------|-------------------------------|
| <b>APPLICANT:</b>     | <b>BALAMANI S. VISHWANATH</b> | <b>§</b> | <b>GROUP ART UNIT: TBA</b>    |
| <b>APPL/SER. NO.:</b> | <b>TBA</b>                    | <b>§</b> |                               |
| <b>FILED:</b>         | <b>HEREWITH</b>               | <b>§</b> | <b>EXAMINER: TBA</b>          |
| <b>TITLE:</b>         | <b>SECURE ECOMMERCE</b>       | <b>§</b> |                               |
|                       | <b>TRANSACTION AND USER/</b>  | <b>§</b> |                               |
|                       | <b>PRODUCT AUTHENTICATION</b> | <b>§</b> |                               |
|                       | <b>MANAGEMENT SYSTEM</b>      | <b>§</b> | <b>ATTY/DCKT: 64423/00031</b> |

**BOX PATENT APPLICATION**

Assistant Commissioner For Patents  
Washington, D.C. 20231

**TRANSMITTAL LETTER**

Dear Sir:

Enclosed for filing in the above-captioned application are the following documents:

- (1) Utility Patent Application Transmittal Letter (Small Entity);
- (2) Utility Patent Application;
- (3) Certificate of Mailing Under 37 C.F.R. § 1.10;
- (4) Drawings (75 Sheets)
- (5) Application Data Sheet;
- (6) Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i);
- (7) Declaration of Balamani S. Vishwanath and Brian D. Mantz;
- (8) Assignment (2 pages);
- (9) Recordation For Cover Sheet (2 pages);
- (10) Power of Attorney;
- (11) Check for \$373.00;
- (12) Check for \$40.00; and
- (13) Postcard.

Applicant believes the required fee for filing the above papers is \$413.00 (\$373.00 for Application; \$40.00 for Assignment Recordation). Checks in the amount of \$373.00 and \$40.00 respectively, are enclosed. If however, the Applicant is in error, the Commissioner is hereby authorized to charge the Deposit Account No. 12-1322 of Locke Liddell & Sapp LLP under Order No. 64423/00031 for any additional fees and/or credits during the entire pendency of this application.

A duplicate of this transmittal letter is enclosed for accounting purposes.

Respectfully submitted,



Dated: July 20, 2001

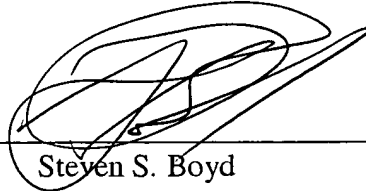
Steven S. Boyd  
Registration No.: 42,353

**LOCKE LIDDELL & SAPP LLP**  
600 Travis, Suite 3400  
Houston, Texas 77002-3095  
Telephone No.: (713) 226-1218  
Facsimile No.: (713) 223-3717

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10**

I hereby certify that correspondence and the documents referred to as attached therein are being deposited with the United States Postal Service on the date indicated below, in an envelope as "Express Mail Post Office to Addressee," service under 37 C.F.R. § 1.10, Mailing Label Number EL179924489US, addressed to the Assistant Commissioner For Patents, BOX PATENT APPLICATION, Washington, D.C. 20231.

DATED: July 20, 2001

  
Steven S. Boyd

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Balamani S. Vishwanath; Brian D. Mantz

Docket No.

64423/00031

Serial No.

TBA

Filing Date

JULY 20, 2001

Examiner

TBA

Group Art Unit

TBA

Invention: Secure Ecommerce Transaction and User/Product Authentication Management System

I hereby certify that this Continuation-in-Part Application along with the required papers

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on July 20, 2001

(Date)

Steven S. Boyd

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)EL179924489US

("Express Mail" Mailing Label Number)

**\*22904\*****22904**

PATENT TRADEMARK OFFICE

Note: Each paper must have its own certificate of mailing.

**Burden Hour Statement:** This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**